

Appendix 2

Ref	Risk Title	Causes	Mitigations	Mitigated Risk Score	Actions	Review Date	Corporate Risk Owner
CR1	Health & Safety non-compliance	<ul style="list-style-type: none"> • Policy and practices not effective • Policies not followed • Inconsistent implementation • H&S approach is not effectively targeting the highest risk areas • Lack of proactive / preventative measures to reduce likelihood • Specific issues regarding Face fit testing and Management of Contractors • management actions not completed in accordance with safety event reports 	<ul style="list-style-type: none"> • Training programmes in place • Policies in place • Appropriate systems exist • Changes to the management and staffing structure • Governance for Health, Safety & Wellbeing in place • Revised estates policy for management of contractors • Secondment of individual into Facilities Management (FM) role to deliver improvements in processes for estates / management of contractors for 12 months • H&S peer review and implementations of findings 5 year audit plan • Acceleration of "facefit" programme for respirators using external contractor • 1st year overview of delivery of Regional H&S Audit Action Plan presented to Oct 2020 HSWC 	<p>Impact = 4 Likelihood = 2</p> <p>Score = 8 Moderate</p>	<ul style="list-style-type: none"> • Health and Safety (H&S) policy frame work review including the implementation of a new H&S management system planned for implementation in <i>October 2021</i> • Developing the H&S legal register • Implement the 2nd year of the 3 year action plan drawn together following the Regional H&S audit undertaken in July 2019 with • Ensure investigation recommendations are placed on CAMMS to ensure progress is visible and completion monitored 	September 2021	AD People Services

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CR2	Future financial viability	<ul style="list-style-type: none"> Reducing funding stream (uncertainty) Failure to identify and deliver savings Difficult to predict future needs / resources required Changes in legislation increasing burden Impact of Covid 19 	<ul style="list-style-type: none"> 2021/22 budget agreed Medium Term Finance Plan (MTFP) refreshed including Covid 19 impacts Efficiency Strategy agreed and being progressed Business Rates Pool extended for 2021/22 Continued monitoring of BRR proposals. Delivery of savings monitored and reported to SLT and Fire Authority Resource Planning meeting to monitor operational establishment Establishment and use of general and earmarked reserves to manage financial risk Collaboration through East Sussex Finance Officers Association (ESFOA) to protect shared income streams e.g. Council Tax and Business Rates “Star Chamber” budget scrutiny as part of the budget setting process Covid costs and savings monitored monthly against grant allocation Initial high level assessment of potential financial cost of McCloud / Sargeant pension remedy IRMP financial impacts built into MTFP Lobbying in advance of Comprehensive Spending Review via National Fire Chiefs Council (NFCC) and local MPs Plans in place for use of one off Protection Surge / Grenfell Infrastructure Grant 	<p>Impact = 2 Likelihood = 3</p> <p>Score = 6 Moderate</p>	<ul style="list-style-type: none"> Exploration of potential new areas for efficiencies as set out in the budget papers Continued review of opportunities for grant funding e.g. CIL Review of sustainability of capital programme Awaiting announcement of CSR21 timetable Monitoring implications of EU exit on costs including potential tariffs on certain goods and services 	September 2021	AD Resources / Treasurer

CR3	Ability to meet developing legislative requirements evolving from central fire safety regulatory reviews	<ul style="list-style-type: none"> • Policy or legislative changes that are likely to arise from reviews and investigations • Unknown burdens on service delivery • Likely increased funding required • Knowledge and competence needed • Lack of capacity and capability • inability to adapt service delivery models 	<ul style="list-style-type: none"> • Introduction of firefighter business safety • Competence framework for business safety officers • Business Safety Review to refresh structure to ensure appropriate capacity and contingency" • Continue to monitor developments from the Hackitt and Moore Bick reviews and potential legislative / regulatory changes • Assessment of the Grenfell Tower Phase 1 report and local ESFRS action plan in place • Monitoring of emerging Fire safety and Housing Bill • Fire Safety Government Consultation to strengthen the fire safety order and implement the Grenfell Tower Phase 1 report • LFB secondment for 9 months to gain an additional external assessment of preparation for compliance against both building and fire safety bills. • Delivery Board in place to oversee assimilation of new protection bills and related acts 	<p>Impact = 2 Likelihood = 3</p> <p>Score = 6 Moderate</p>	<ul style="list-style-type: none"> • Refresh and publish a new Protection Strategy to take account of the emerging issues. • Allocate ESFRS officers to national working groups to steer and understand the implications of the proposed national changes. • Sector is lobbying Govt. for additional funding for investment in protection services • Investment in CRM and related mobile devices/software to enable required flexibility and mobile working to improve efficiency in work processes, ensure delivery of reviewed RBIP, BRR and respond to internal audit findings to ensure full compliance with legislation. • Deliver the Building Risk Review • Respond to fire safety consultation • Utilise the Government Protection Funding to identify improvement and support for existing protection team. • Seeking regional alignment through regional board on key matters initially such as legal/prosecutions, engineering, consultations and RBIP (Risk based inspection programme). 	September 2021	ACFO
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CR4	Effective workforce planning e.g. professional services	<ul style="list-style-type: none"> Increasingly difficult to recruit into professional services HR policy flexibility (grades/salaries) Recruitment pool processes Already lean workforce Cognisant of the HMICFRS findings 	<ul style="list-style-type: none"> Market supplement process for professional service jobs agreed by SLT. Continue to consider the wider recruitment market to assess salary points for specialist posts). Recruitment and selection framework Process Improvement Project to deliver efficiencies in roles and policy supporting lean workforce Redesign current talent pool process at each operational level within the Organisation 	Impact = 2 Likelihood = 4 Score = 8 Moderate	<ul style="list-style-type: none"> Strategic Workforce Plan to be signed off at Sept SLT Embed and reinforce workforce plan. To explore and introduce a Benefits Framework and embed market supplement process for professional service jobs (2021/22) To re-engineer the recruitment and selection processes for professional services To review salary structure with Hay (2022/23) 	September 2021	AD People Services
CR5	Failure to mobilise effectively	<ul style="list-style-type: none"> ESFC incident / significant system failure Software providers unable to maintain support for system over longer term. Loss of staff resulting in insufficient staff to maintain business as usual operational service 	<ul style="list-style-type: none"> Fall-back and business continuity arrangements designed, tested and operating (this includes fully functional secondary control at Maresfield. Refreshed approach to attendance management. Crewing degradation policy in place. Resilience plan in place and being managed via weekly conference calls WSFRS exit from joint control successfully achieved Interim single service model developed for period Dec 2019 to March 2021 and now operating. New trainees course complete Required additional funding identified and agreed for interim period Authority has approved future transition to partnership with Surrey and West Sussex FRS through Project 21. Project 21 now mobilised and progress on track including effective joint working across partner FRS Phase One, Two and Three Station end equipment completed Corporate WiFi roll out complete. Contract and support arrangements with Remsdaq extended to 31 March 2022 	Impact = 4 Likelihood = 2 Score = 8 Moderate	<ul style="list-style-type: none"> Further audits and remediation plans for Mobile Data Terminals, Wi-Fi and Station End Equipment Scenario planning for future options / outcomes underway including recruitment if necessary Crewing resilience hierarchy in place. 	September 2021	DCFO

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CR6	Failure to manage the effects and impacts of a major loss of staff event	<ul style="list-style-type: none"> Lack of engagement with unions / staff Poor / ineffective consultation practices Ineffective communications Lack of business continuity Pandemic Flu Major travel disruption Failure of National pay negotiation leading to action short of a strike 	<ul style="list-style-type: none"> Review outcomes of Retained Firefighters Union report Introduction of the On-call action learning set Establish a resilience group to refresh the resilience contingency plans and loss of staff protocols. Establish regional loss of staff working group to share best practice and assist in contingency planning". Introduce a revised Business Continuity Plan for major loss of staff Deliver an Emergency Management Team (EMT) exercise to test the plans and response by the key staff within the continuity plans. Close working with NFCC to determine local and regional resilience New National Security Risk Assessment for industrial action prompting Sussex Resilience Forum support IRMP proposals for Operational Response Plan (ORP) and flexible on-call contracts to improve resilience approved September 2020 IRMP Implementation team and governance in place Internal and partner (SRF) governance arrangements in place to manage Covid-19 impacts 	<p>Impact = 3 Likelihood = 3 Score = 9 Moderate</p>	<ul style="list-style-type: none"> The established continuity handbook(informed by the NFCC prioritised activities) for staff to assist in managing the early stages of a major loss of staff has been reviewed following the HMIC&FRS audit and EU Transition. Working with Sussex Resilience Forum (SRF) to assess threat and risk as part of community risk IRMP implementation team taking forward ORP and new on-call contracts. 	September 2021	ACFO

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CR7	Inability to respond effectively to a cyber incident	<ul style="list-style-type: none"> • Lack of effective Business Continuity Plan (BCP)in place • Underestimation of risk likelihood • Poor policies and procedures • Human error • Lack of staff awareness (e.g. phishing) • Poor protection of systems leading to increased severity 	<ul style="list-style-type: none"> • telent to progress IT Risk Treatment Plans • Annual IT Health Checks now scheduled • Information Security Management Forum meeting on a regular basis • Information Security e-learning in place with mandatory annual re-test • Annual review of ISO27001 gap analysis • Information Security Management System in place • New suite of Information Security policies in place • Annual IT Health Checks implemented along with associated telent mitigation plans • Information Security Project now complete and closed down 	<p>Impact = 4 Likelihood = 2 Score = 8 Moderate</p>	<ul style="list-style-type: none"> • Telent (working with Aristi) progressing risk treatment plans following scheduled IT Health Checks. • Review of NRR and further national guidance being considered by Sussex Resilience Forum. ESFRS involved closely in this work and any relevant actions to be fed back to the service. • IT Health Checks taking place in Jul 2021. • ESFC IT Health Check risks to be remediated as part of Project 21 4i decommissioning phase, which will be completed in Mar 2022 • Progress towards ESFRS achieving Cyber Essentials Plus accreditation in 2022, in line with NFCC IT Managers' agreed FRS cyber accreditation standard 	September 2021	DCFO

Ref	Risk Title	Causes	Mitigations	Mitigated Risk Score	Actions	Review Date	Corporate Risk Owner
CR8	Failure to deliver key corporate projects	<ul style="list-style-type: none"> Lack of adherence to governance processes Lack of experienced staff managing projects Inability to recruit to vacant posts in the Programme Management Office (PMO) Over optimistic delivery plans 	<ul style="list-style-type: none"> Assignment of programme management office Set up of the PMO – team, processes, standards, PMO Manual Set up of Projects Tool Kit Intranet pages including templates, guidance and information to project managers and all staff involved in projects. Portfolio capture in place and rationalisation of clusters and sub clusters of projects. Set up of monthly reporting of projects into the PMO and quarterly / yearly PMO reporting to SLT. Strategic Change Board in place Key projects managed directly by the PMO (FireWatch, CRM, Business Intelligence, Respiratory Protective Equipment, ESMCP). Project management now in place for delivery of fleet and engineering projects Dependencies analysis and risks of extant project now complete New PMO structure, terms of reference and funding agreed by SLT to meet the business need. Additional Estates project management capacity in place (Major Capital Projects Manager) 	<p>Impact = 3 Likelihood = 2</p> <p>Score = 6 Moderate</p>	<ul style="list-style-type: none"> Reports further developed for Strategic Change Board and exception reporting at SLT. Compliance against project monitoring improving Carrying out Project health checks with PMs Implement agreed actions from Internal Audit Report (reasonable assurance opinion) Most actions are complete. Reporting project finances is identified for this year PMO quarterly drop in sessions in place. 	September 2021	AD Planning & Improvement
CR9	Collaboration	<ul style="list-style-type: none"> Collaboration fails to deliver desired outcomes Resources required to support collaborative activities not justified by improvements in efficiency and / or effectiveness 	<ul style="list-style-type: none"> Collaboration Framework agreed and in place Priorities agreed for 2018-21 Regular tracking of collaboration activities through business performance system Governance in place e.g. 4F and Integrated Transport Function (ITF) Legal advice on formal collaboration agreements Update report on the agreed collaborations (as outlined in the Collaboration Framework) to SLT in May 2020 Areas of focus for 2021/22 agreed with 4F collaboration leads 	<p>Impact = 3 Likelihood = 2</p> <p>Score = 6 Moderate</p>	<ul style="list-style-type: none"> Regular review of collaborative activities through SLT and Scrutiny and Audit Panel Full update report to SLT and the FA in summer 2021 to concentrate on efficiencies 	September 2021	AD People Services

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CR10	Security and safety of staff and visitors on ESFRS sites	<ul style="list-style-type: none"> Damage to buildings and assets Injury to Personnel Service Delivery: Unable to deliver training and requalify personnel if interruption continues Industrialisation of areas surrounding ESFRS premises perpetually halting operational practice on sites. 	<ul style="list-style-type: none"> Safety Measures implemented in affected areas of Service Training Centre (STC) when burning i.e. PPE, Cordons. The use of Community Order prohibiting protagonist from attending Authority premises Increased safety officers Temporarily ceased some lay flat testing to Air Quality Testing Independent Air Quality Testing Report Meeting with Traveller Rep, ESCC Rep and Sussex Police to discuss concerns. Review of whole site security in conjunction with Estates. Traveller Community Engagement, education and information around work and function of STC. Project long term review of live fire training facilities Initial phase of security improvements at STC completed New security gates installed at STC 	<p>Impact =3 Likelihood = 3</p> <p>Score = 9 Moderate</p>	<ul style="list-style-type: none"> Feasibility study for enhancements to training facilities including a clean burn strategy approved at Change Board in Oct 2020 and being commissioned, <i>now</i> FBC being developed with full costings and will go to September 2021 Change Board 	September 2021	AD People Services
CR11	Workforce planning	<ul style="list-style-type: none"> Response to the McCloud and Sargeant cases lowering potential retirement ages Financial implications of reinstatement to old schemes Loss of senior level experienced officers and staff earlier than expected Failure to interpret rules or legislation correctly Immediate Detriment Cases 	<ul style="list-style-type: none"> Access professional legal advice where necessary FPS administration successfully transitioned to WYPF wef 1 April 2020 Initial high level assessment of potential financial cost of McCloud / Sargeant pension remedy. Pension Adviser contract extended to end December 2021 	<p>Impact =3 Likelihood = 2</p> <p>Score = 6 Moderate</p>	<ul style="list-style-type: none"> monitoring developments through LGA / NFCC / Home Office liaising with our actuary to ensure liabilities are reflected in IAS19 reports issuing communications to staff to keep them informed Paper to P&R Panel July 2021 following joint legal advice in relation to Immediate Detriment cases with position and recommendations to approach 	September 2021	AD People Services

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CR12	Spread of infectious pandemic diseases	<ul style="list-style-type: none"> Risk to workforce and service delivery over the spread of Covid – 19 (corona virus) 	<ul style="list-style-type: none"> SRF meet every week to review current issues PHE are monitoring and assessing the risk to public health in the UK and providing guidance to emergency services Guidance business service and operations on protocols for dealing with high consequence infectious diseases. Organisational update of business continuity plans reviewed to ensure fit for purpose EMT established Covid 19 Working Group and supporting cells in place and local BC plans reviewed. Regular staff updates in both service brief and by email. Access to test facilities for key workers Established PPE supply chain and key organisational working practices to prevent infection/spread of virus within service. Premises risk assessments for covid safe premises. Weekly monitoring of Sussex health system and Covid data via Sussex Monitoring Group National PPE guidance to be released. ESFRS BC plans reviewed and tested against Reasonable Worst Case Scenario SRF Pandemic Flu Plans updated and published Weekly Common Operating Picture established by SRF Balance of Covid-19 grant held to cover 2021/22 costs 	<p>Impact =3 Likelihood = 2</p> <p>Score = 6 Moderate</p>	<ul style="list-style-type: none"> Public awareness communication plan. Review of longer term impacts of mental health and well-being Return to workplace protocols and expectations being considered by SLT EMT / CWG to deescalate in line with government roadmap and SRF step-down 	September 2021	DCFO
CR13	Ageing workforce	<ul style="list-style-type: none"> Increasing ageing workforce Increasing number of age related injuries Increase in injury recovery times having a cost to recovery Increase into alternative specialist equipment causing further costs Increased number of ill health retirements 	<ul style="list-style-type: none"> Trained personnel in manual handling training Membership to Fire And Recuse Risk Group (FARRG) help discuss ongoing issues with other services may have already dealt with including issues with National Resilience Equipment Wellbeing strategy that is looking at supporting an ageing workforce Service Fitness Advisor embedded into the Complex Case Mgt review meetings Reviewing manual handling training via station assurance programme Weekly absence stats scrutinised by ADs to identify trends Complex Case Mgt Review meetings review cases specifically to assist in addressing this issue Training video for operational crews in relation to patient handling/carrying 	<p>Impact =3 Likelihood = 2</p> <p>Score = 6 Moderate</p>	<ul style="list-style-type: none"> Review of sufficient or appropriate training 2021/22 we will be scoring compliance manual handling training policy 	September 2021	AD People Services
CR14	Financial & operational impacts of UK's withdrawal from the EU	<ul style="list-style-type: none"> Economic shock and impact on funding Supply chain problems Additional tariffs and other price increases Data warehousing located in EU countries 	<ul style="list-style-type: none"> Existing Business Continuity plans have been reviewed Linking with work being carried out nationally through NFCC Risk / impact assessment of supply chain complete 	<p>Impact = 2 Likelihood = 3</p> <p>Score = 6 Moderate (increased from 4 – Tolerable)</p>	<ul style="list-style-type: none"> On-going monitoring of supply chain / procurement issues and related financial / operational impacts 	September 2021	DCFO

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CR15	Health & Safety non-compliance	<ul style="list-style-type: none"> Management actions not completed in accordance with safety event reports 	<ul style="list-style-type: none"> Ensure investigation recommendations are placed on CAMMS to ensure progress is visible and completion monitored Log of all outstanding actions from H&S Investigations provided to ADs so they can provide updated position on implementation Assistant Directors receive a quarterly report from the H&S team with outstanding actions All Outcomes to be discussed at DMTs 48 out of 252 outstanding actions identified now completed 	Impact = 4 Likelihood = 3 Score = 12 Substantial	<ul style="list-style-type: none"> Outstanding actions to be highlighted and discussed at the HSWC H&S BPs to work with the appropriate departmental managers to agree suitable timescales and priority Remaining 204 outstanding actions to be added to CAMMS Strategy monitoring system and tracked on a monthly basis 	September 2021	AD People Services
CR16	Workforce Planning – Operational competence	<ul style="list-style-type: none"> Workforce modelling suggests that ½ of the operational workforce can retire over the next 5 years. Therefore, there will be a loss of operational knowledge 	<ul style="list-style-type: none"> Workforce planning group providing collective understanding of current picture and forecasting through resource management plan. Firefighter recruitment review and actions. Maintain a transfer pool approach 	Impact = 4 Likelihood = 2 Score = 8 Moderate	<ul style="list-style-type: none"> Ensure focus on development of those with potential through equitable and fair pathways Supervisory and model manager Leadership development supportive programme Mentoring/Coaching as an assistive tool Gap analysis of competencies that are at high risk of not being retained. Alternative options for securing specialist skills (sharing with other services) 	December 2021	AD Safer Communities